

10/30/01  
31048 U.S. PTO

12-19-01

A

**CERTIFICATE OF EXPRESS MAILING**  
EXPRESS MAIL Mailing Label Number EL478578225US  
Date of Deposit: 10/30/01  
I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.  
Name: James A. Sullivan  
Signature: \_\_\_\_\_  
*Clifford Chance Rogers & Wells LLP*

Docket No. 3499-134

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**PATENT APPLICATION TRANSMITTAL**

COMMISSIONER OF PATENTS  
BOX PATENT APPLICATION  
Washington, D.C. 20231

jc555 U.S. PTO  
10/02/1124  
10/30/01

Sir:

Transmitted herewith for filing is a utility patent application

Of: David Lawrence

For: **RISK MANAGEMENT CLEARINGHOUSE**

ENCLOSED are the following:

1. ☒ Specification, abstract and claims (24 pages)
2. ☒ 6 sheets of ☐ formal ☒ informal drawings (Figs. 1-6)  
Suggested Figure for Publication: \_\_\_\_\_
3. ☒ Declaration  
☐ signed ☒ unsigned  
☐ Copy from a prior application (for continuation/divisional)
4. ☐ Application Data Sheet
5. ☐ Preliminary Amendment
6. ☐ Information Disclosure Statement and PTO-1449
7. ☐ Assignment and Assignment Recordation sheet (*Fee calculated separately*)
8. ☐ The prior application is assigned to: \_\_\_\_\_  
The assignment was recorded on \_\_\_\_\_ at reel \_\_\_\_\_ and frame \_\_\_\_\_.  
☐ A copy of the assignment from the prior application is enclosed.
9. ☒ Non-Publication Request
10. ☐ Other:

**NOTE the following:**

11. ☒ This application is made under 37 C.F.R. § 1.53 (b) and is a  
☐ Continuation ☒ Continuation-In-Part ☐ Divisional  
of Prior Application No. 09/812,627 filed 3/20/01
12. ☐ An Extension of time is filed concurrently herewith for the parent application.

13. Small Entity Status:

- ☐ Applicant is a small entity  
☐ Small entity status claimed in the parent application is no longer proper

14. ☐ Applicants claim priority from the following application(s) under 35 U.S.C. § 119:

15. ☐ Applicants claim priority from the following application(s) under 35 U.S.C. § 120:

Serial Number

Country

Filing Date

Certified Copy Encl.

15. ☐ Cancel claims \_\_\_\_\_ prior to calculation of the filing fee.

Basic Filing Fee			\$740.00
Total No. Claims 21	Extra Claims(Total-20) 1	Fee / claim \$18.00	\$18.00
Total No. Independent Claims 6	Extra Independ.(No.-3) 0	Fee / claim \$252.00	\$252.00
Multiple dependent claim? + \$280			\$0
<b>Sub-Total</b>			\$1120.00
Small Entity? less 50%			0
<b>TOTAL FEE DUE</b>			\$2112.00

16. ☐ A check in the amount of \_\_\_\_\_ is enclosed (must at least cover the basic fee).  
☒ The Commissioner is authorized to charge \$2112.00 in connection with this communication to Deposit Account No. 50-0521.

In the event that a petition for extension of time is required to be submitted in the pending prior application, and in the event that a separate petition for the pending prior application is not filed on even date, applicant hereby petitions under 37 C.F.R.1.136(a) for an extension of time in the pending prior application of as many months as are required to render this submission timely. The Commissioner is authorized to charge any fees due in connection with such a petition to Deposit Account No. 50-0521.

The Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 50-0521.

A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: Oct. 30, 2001

J.P. Kincart  
Joseph P. Kincart  
Reg. No. 43,716

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Patent Application transmittal  
Docket No.3499-134

NYB 1293754.1

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date: 10/30/01

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

*James A. Sullivan*  
\_\_\_\_\_  
Clifford Chance Rogers & Wells LLP

**Docket No. 3499-134**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: David Lawrence

Filed: herewith

Group Art Unit:

Serial No:

Examiner:

For: **RISK MANAGEMENT CLEARINGHOUSE**

**NON-PUBLICATION REQUEST**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

It is hereby requested that the present application not be published under 35 U.S.C. § 122(b).

The undersigned hereby certifies that, as of the date of the execution of this document, the invention disclosed in the above-identified application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing.

Respectfully submitted,

Date: October 30, 2001

*J.P. Kincart*  
\_\_\_\_\_  
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